Enabling Strategic Choice

Institutional Reform and Governance

ACP 3: Decision Framework

DAWG Brief

June 22, 2007

Institutional Reform and Governance (IR&G)

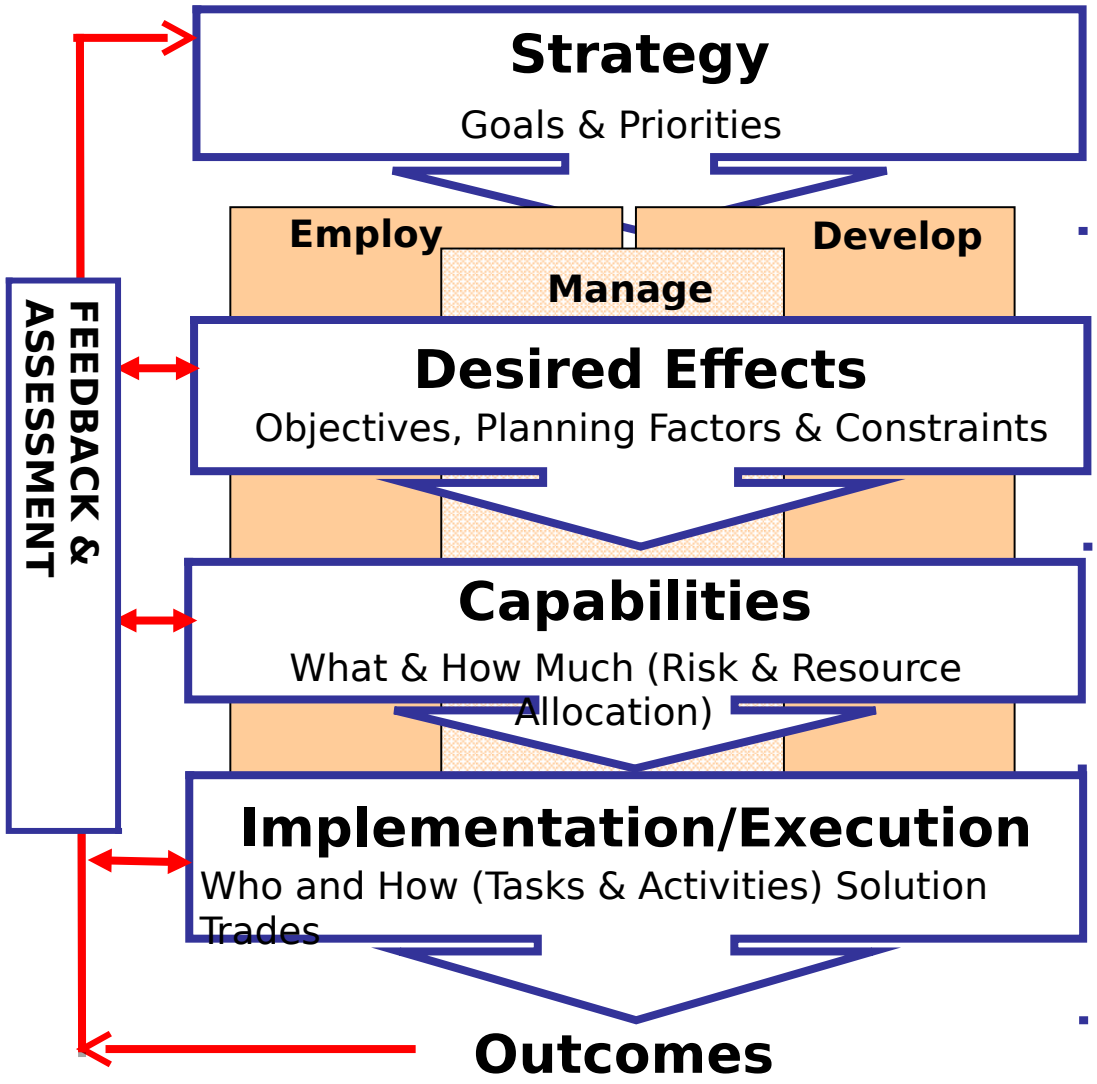
ACP 3: Decision Framework

- ACP 3 from March 15 DSD Memorandum:
  - The Department needs an overarching framework:
    - Common sense of value
    - Strategy to outcomes linkage
    - Transparent and integrated
    - Enable strategic choice
- Seeking DAWG Approval
  - Enterprise decision framework and process alignment
  - Top –Level Joint Capability Areas (JCA's) Endorsement as capability component of overarching framework
  - Establishment of Business Rules to align resources to the framework
  - Integrated Information Management Plan and Governance Mechanism

Goal: Provide clear translation of strategy into planning guidance that better informs
capability provider (Title X) to produce outputs aligned to Strategy

Establish an Overarching Framework

Enabling Strategy to Outcomes Alignment



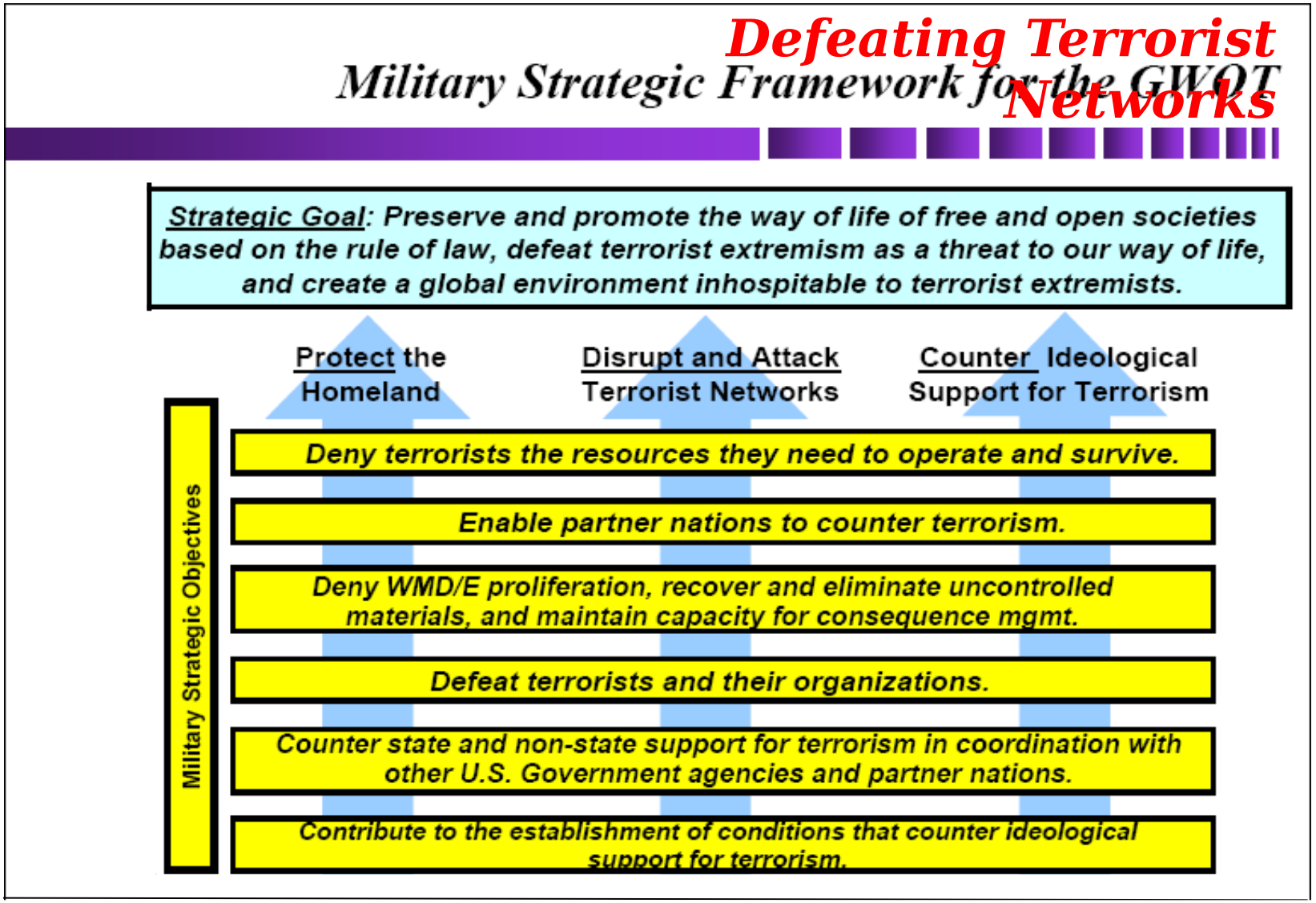
Example Strategy: Goals and Priorities

From the 2006 QDR:

- To operationalize the *National Defense Strategy*, the Department's senior civilian and military leaders identified four priority areas for examination during the QDR:

1. Defeating terrorist networks.
2. Defending the homeland in depth.
3. Shaping the choices of countries at strategic crossroads.
4. Preventing hostile states and non-state actors from acquiring or using WMD.

Example Desired Effects: Campaign Plan Objectives, Planning Factors and Constraints


Defeating Terrorist Networks
Military Strategic Framework for the GWOT
Strategic Goal: Preserve and promote the way of life of free and open societies based on the rule of law, defeat terrorist extremism as a threat to our way of life, and create a global environment inhospitable to terrorist extremists.
Protect the Homeland
Disrupt and Attack Terrorist Networks
Counter Ideological Support for Terrorism
Military Strategic Objectives
Deny terrorists the resources they need to operate and survive.
Enable partner nations to counter terrorism.
Deny WMD/E proliferation, recover and eliminate uncontrolled materials, and maintain capacity for consequence mgmt.
Defeat terrorists and their organizations.
Counter state and non-state support for terrorism in coordination with other U.S. Government agencies and partner nations.
Contribute to the establishment of conditions that counter ideological support for terrorism.

Example Capabilities: Operational Plan Assessment (What & How Much)

		B	C	D	E	F	G
1		Enter effect prioritizations in this row (High Importance- H, Important- I, Low Importance- L)					
2	Enter JCA prioritizations in this column (High Importance- H, Important- I, Low Importance- L)	**TIER 1 JCA** / **Tier 2 JCA**	Effect 1 AQ and Affiliates are denied safe havens, freedom of movement and funding to establish new footholds (H)	Effect 2 Friendly nations defeat terrorist threats within their borders (I)	Effect 3 Terrorists cannot acquire or employ WMD/E (I)	Effect 4 COCOM is able to recover and eliminate uncontrolled WMD/E materials and maintain the capacity to conduct consequence management in the AOR (I)	Effect 5 Terrorist organizations are unable to conduct attacks against U.S. homeland and interests (H)
3	I	**JOINT ACCESS & ACCESS DENIAL**					
4	H	Contigency Basing	X	X	X	X	X
5	L	Counter Operational Mobility					
6	L	Forcible Entry					
7	I	Freedom of Navigation	X			X	
8	H	LOC Protection	X			X	
9	L	Seabasing					
10	I	**JOINT AIR OPERATIONS**					
11	L	Air Interdiction					
12	L	Offensive Counterair Ops					
13	L	Strategic Attack	X		X		X
14	L	Tactical Air Support	X	X		X	X
15	H	**JOINT BATTLESPACE AWARENESS**					
16	H	Analysis & Production	X	X	X		X
17	H	Dissemination & Integration	X	X	X		X
18	H	Evaluation & Feedback	X	X	X	X	X
19	H	Observation & Collection	X	X	X	X	X
20	H	Planning & Direction	X	X	X	X	X
21	H	Processing & Exploitation	X	X	X		X

X Sufficien

X Gap

X Overage

Example Implementation / Execution:

Who and How (Tasks & Activities) Solution Trades

Capability Provider	Tactical Aircraft	Inventory
Navy	F/A-18E/F	558
Air Force	F-15A/B/C/D	197
Air Force	F-15E	138
Air Force	F-16	414
Air Force	F-22A	38

- Exploring the solution space:
  - Evaluate On-Hand Capability
  - Evaluate alternatives to fill gap:
    - Increase current capability-buy more airframes
    - Substitute alternatives
    - Change DOT_LPF
    - Accept Risk
  - Present decision makers with options in terms of risk and resources
  - Execute a decision

(Notional Example addressing a Joint Air Operations, Tactical Air

Strengthening the Role of Mission Analysis Process—

Operationalize Strategy & Produce the Demand Signal for the Enterprise

- Should provide the transparent link from Strategy to what and how much capability
- Needs to answer these questions to enable senior leadership's risk and resource allocation decisions across plans:

1. What capability and how much is required to deliver desired effects across the plans?
2. What and how much do we have in our programmed force?
3. Where are we sufficient ?
4. Where are the capability gaps?
5. What do we have too much of?
6. Where can we exploit interdependencies ?
7. Given resource constraints where should the Department consider taking

Near to Mid Term

	Plan 1	Plan 2	Plan 3	Plan 4	Plan 5
Effect A	X	X	X	X	X
Effect B	X		X		X
Effect C					
Effect D		X	X	X	X
Effect E			X		

	Effect A	Effect B	Effect C	Effect D	Effect E
Capability 1			✓		
Capability 2	✓		✓		
Capability 3			✓	✓	✓
Capability 4	✓	✓	✓		✓
Capability 5					✓
Capability 6	✓				✓
Capability 7		✓		✓	✓
Capability 8	✓				
Capability 9	✓	✓		✓	
Capability 10	✓			✓	
Capability N	✓				

Mid to Far-Term

	DPS 1	DPS 2	DPS 3	DPS 4	DPS 5
Effect A	X	X	X	X	X
Effect B	X		X		X
Effect C					
Effect D		X	X	X	X
Effect E			X		

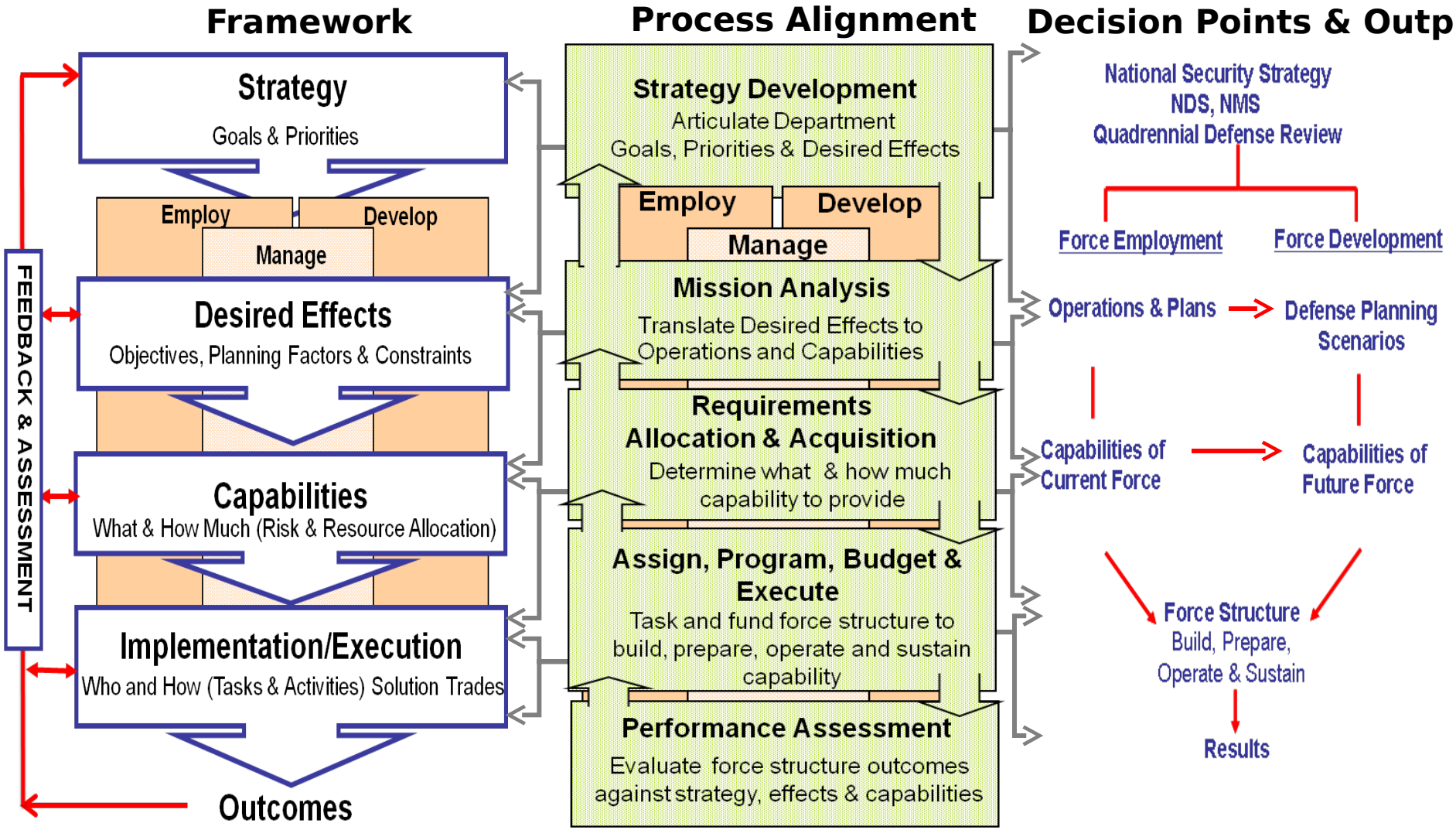
	Effect A	Effect B	Effect C	Effect D	Effect E
Capability 1		✓			
Capability 2	✓		✓		
Capability 3		✓	✓	✓	✓
Capability 4	✓	✓	✓	✓	✓
Capability 5		✓		✓	✓
Capability 6	✓	✓	✓		✓
Capability 7		✓		✓	✓
Capability 8	✓		✓		
Capability 9	✓	✓	✓		
Capability 10	✓				

Capabilities to Force Structure Near to Far-Term

	Capability 1	Capability 2	Capability 3	Capability 4	Capability 5	Capability 6	Capability N
USA	✓					✓	
USA				✓		✓	
USA	✓	✓				✓	
USN		✓					
USN				✓			✓
USN	✓						✓
USMC				✓		✓	
USMC		✓	GAP			✓	
USMC	✓					✓	
USAF		✓					
USAF				✓			✓
USAF		✓					
DADW	✓				✓		
DADW				✓	✓		
DADW							

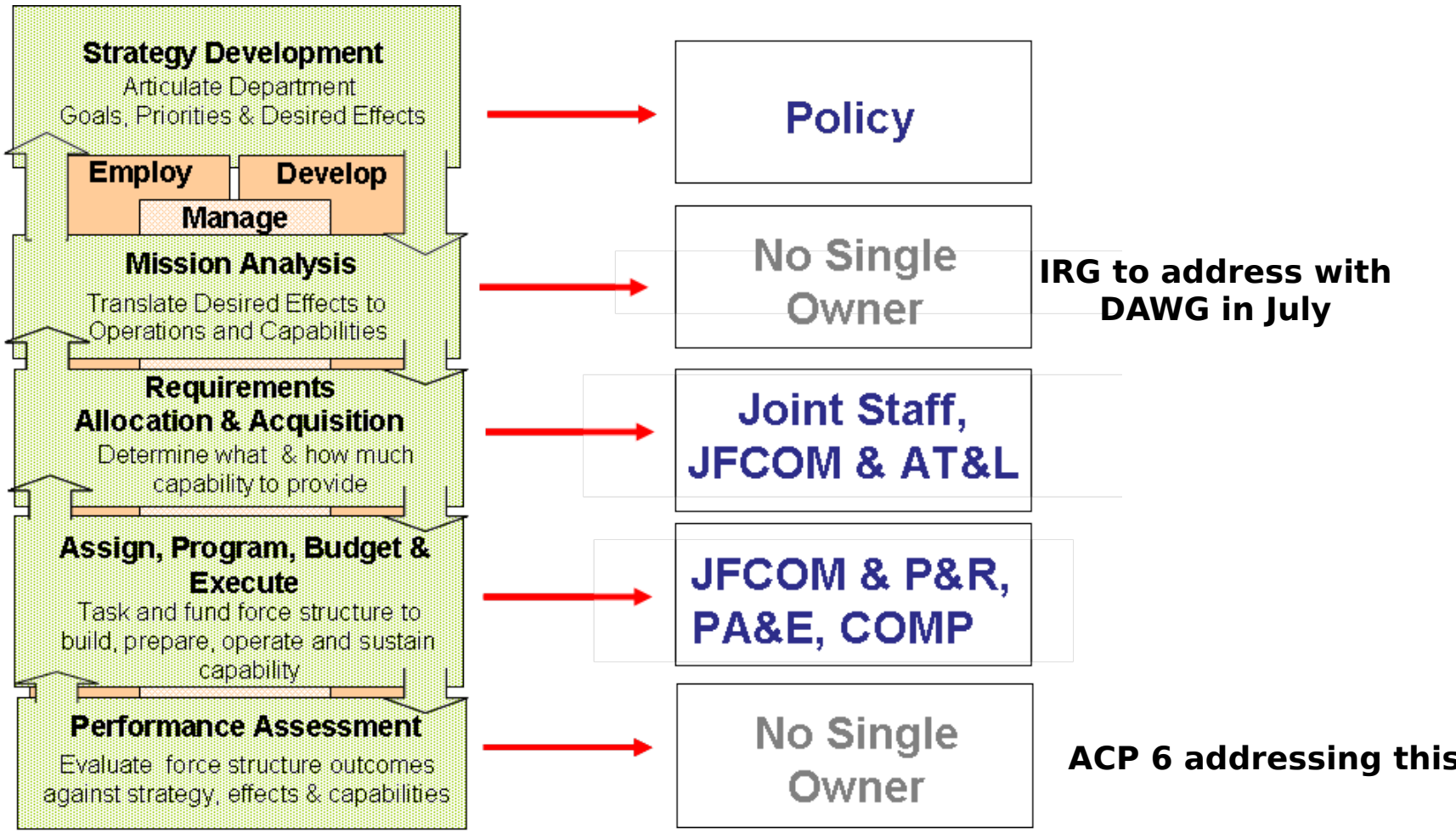
Establish an Overarching Framework

Align Processes, Roles & Outputs to Support the Framework



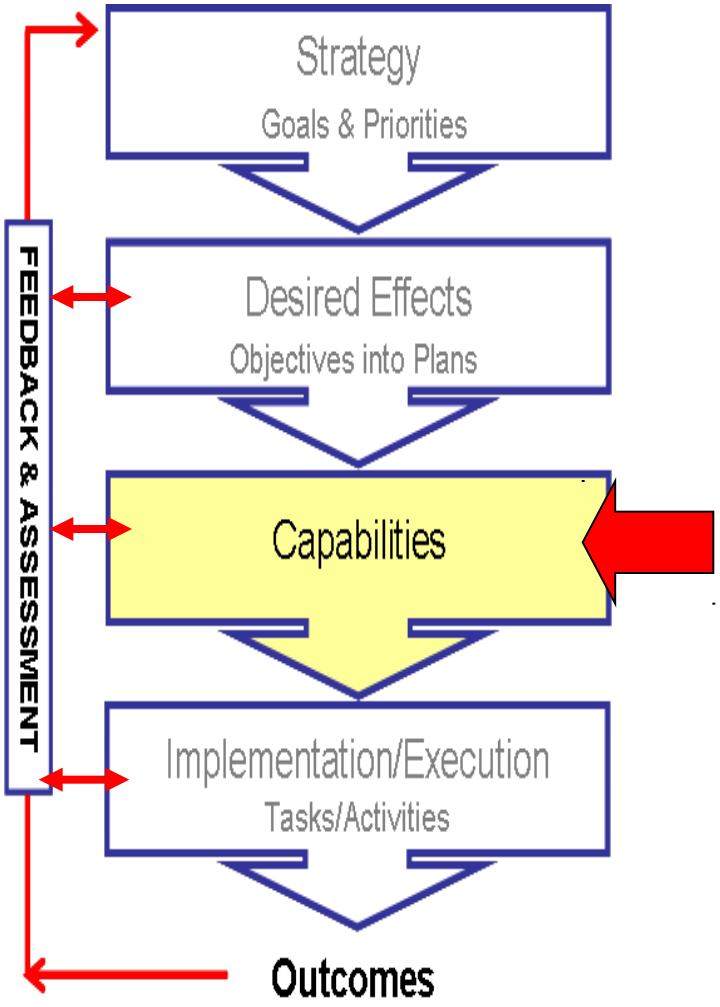
AWG Action: Approve Framework and Direct Process Alignment to Framework

Establishing Enterprise Process Leads


Core Processes
Core Process Leads at Enterprise
Strategy Development
Articulate Department Goals, Priorities & Desired Effects
Employ
Develop
Manage
Mission Analysis
Translate Desired Effects to Operations and Capabilities
Requirements Allocation & Acquisition
Determine what & how much capability to provide
Assign, Program, Budget & Execute
Task and fund force structure to build, prepare, operate and sustain capability
Performance Assessment
Evaluate force structure outcomes against strategy, effects & capabilities
Policy
No Single Owner
Joint Staff, JFCOM & AT&L
JFCOM & P&R, PA&E, COMP
No Single Owner
IRG to address with DAWG in July
ACP 6 addressing this

Each Process needs an Accountable Enterprise Owner/Integrato

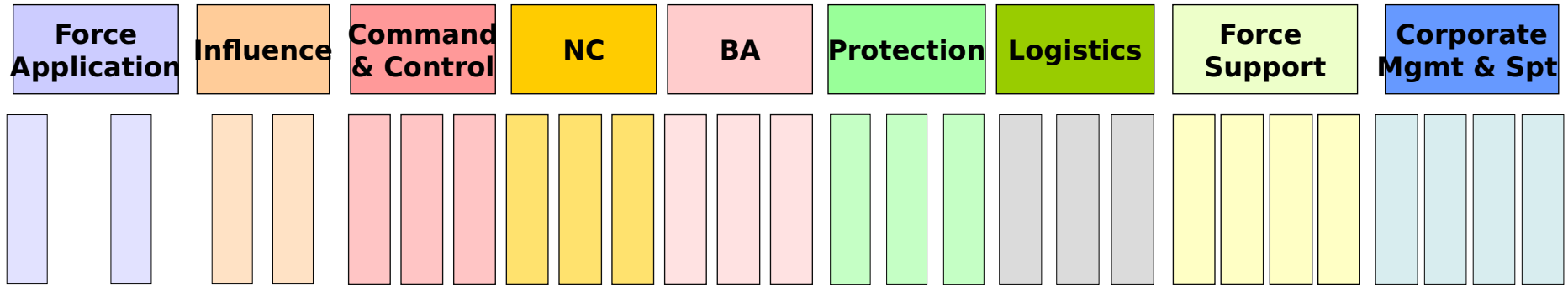
Establish the Capability Component



- ACP 3 Task 1:
  - Leveraging the JCA Re-Baseline, develop the capability component of the framework that:
    - Enables the translation of current and future operational goals into capabilities,
    - Links them to core Department management processes, functions and organizations

- JCA Re-Baseline in 2 Phases
  - **Phase 1 – Develop top-level "Functional" JCA's**
    - Functional, a manageable number
    - 100% of DoD capabilities, mutually exclusive capability binned once
    - Define Scope
    - Develop a 2nd level that begin to decompose the top-level, but could be adjusted during phase two decomposition
  - Phase 2 – Decompose Top Level , leveraging as much of existing Tier Two JCA's as possible

JROC Decision on JCAs



Criteria

- Functionally decomposed
- 100% of DOD capabilities
- Uniform decomposition
- Maximize mutual exclusivity

Joint Staff J-7 To conduct JCA Decomposition Down to appropriate level

IRG ACP task 3.1.2: Use Top-Level JCAs for Capability Portfolios, establish business rules for binning resources

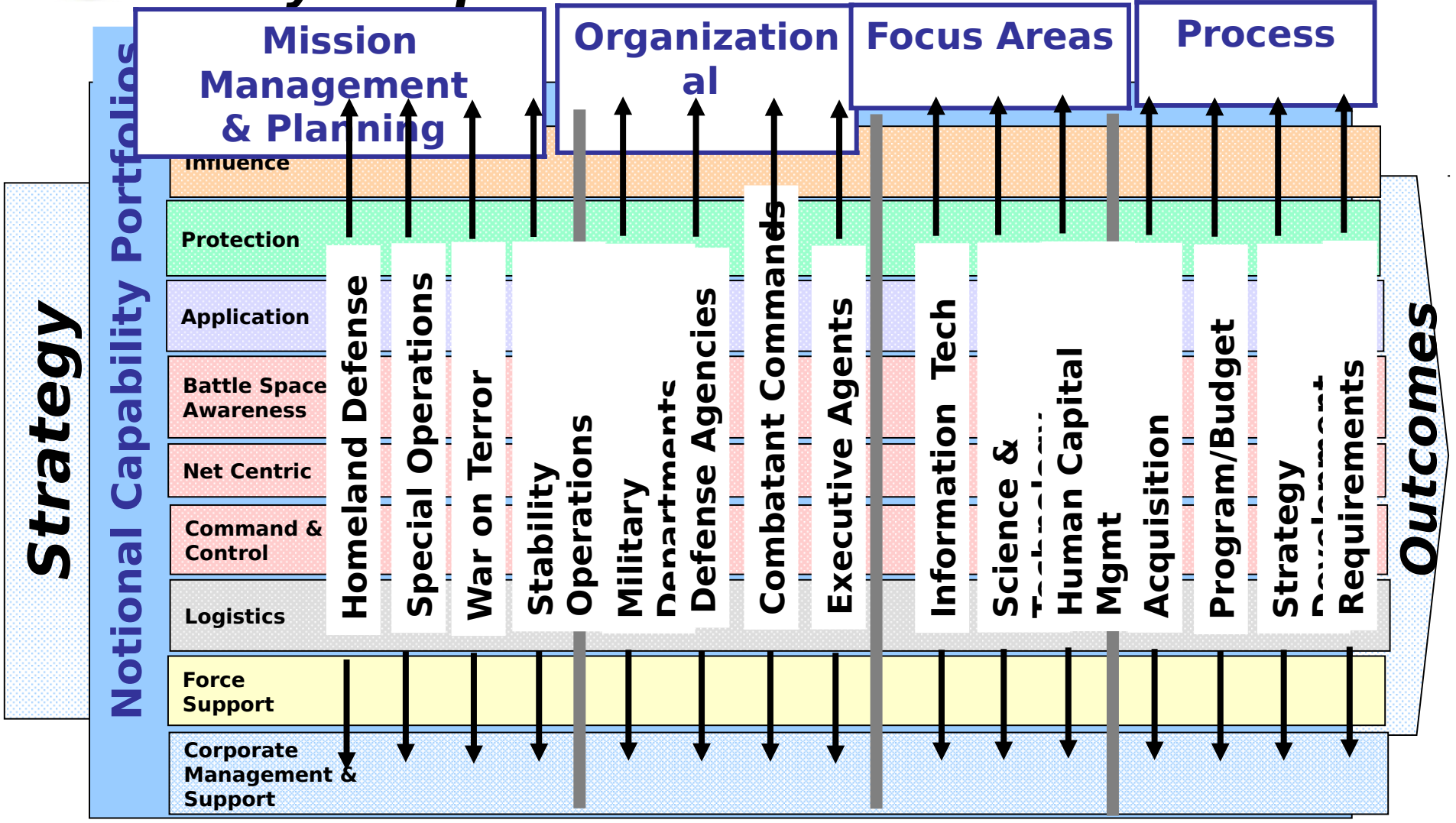
DAWG Action: Endorse Top-Level JCAs as Integrated Capability Portfolios

Relate Resources to the Framework

- Task 3.1.2 Using the Capability Portfolios develop experimental displays for FY 2009 to determine full-up implementation requirements approach for FY 2010 cycle
  - As core process owners, Comptroller, AT&L, PA&E, Policy P&R, & Joint Staff in concert with Components will
    - Establish business rules for aligning common resource data—people, money and things to capability portfolios
    - Develop experimental capability portfolio displays based on the business rules from core process owner's
    - Identify issues with current configuration of data sources
  - Present Business Rules to the DAWG by August 2007
  - Present status/findings to the DAWG by October 2007

DAWG Action: Designate a lead (PA&E) to coordinate among core process owners to establish business rules for relating resources to the framework

Top Level JCA's Provide the Basis for Facilitating Management Decisions across many Perspectives



ACP 3.1.3 Concept For Enterprise Management Information

Integrated Information Management—What We Have Learned Thus Far

- Working with Action Officers from across the Department—Services, OSD JS, CIO and BTA
  - Lots of good efforts occurring individually within processes, and components but no enterprise information management plan
  - Information Integration needs to start with the core processes at the enterprise level and cascade down
  - Need a **data sharing** plan at the enterprise level that
    - aligns to decision framework,
    - leverages existing standards and systems,
    - streamlines data collection requirements, and
    - recognizes component data as the authoritative source
  - There are existing data strategy concepts and efforts that can be leveraged and adapted to enable effective management at the enterprise level

Conclusion: What's missing is an enterprise Integrated Management Information Plan (IMIP) and a governance function

Integrated Management Information Pla

- Task 3.1.3 Develop an Integrated Management Information Plan to support the senior leadership decision-making required to make the strategy to outcomes framework functional
  - Formally align and leverage independent data efforts across OSD, the Joint Staff and the Components to improve data integration, transparency and agility across the framework
    - Identify the information and data needs to support enterprise decision making and performance assessment;
    - Develop enterprise standards for those information and data needs;
    - Identify authoritative data sources to support the information and data needs;
    - Develop an implementation plan for data transparency throughout the enterprise;
    - Determine an effective management of enterprise data

Options for Governance and IMIP

- Federated Management and Execution: Use of a Capability Framework is up to process owners and components no formal enterprise level plan, oversight or enforcement

- Joint Management, Federated Execution: Form or leverage an existing matrixed council/ board consisting of Core Process owners and Capability Portfolio "advocates" to establish and enforce the IMIP

- Centrally Managed and Executed: Create or leverage an existing organization to develop and implement a plan for and enforcement of the formal alignment and integration of independent data efforts across OSD, JS and the

DAWG Action: Determine preferred governance approach; and direct the creation and implementation of an Integrated Management Information Plan (IMIP) to support the Department's strategy to outcomes decision framework

Action Summary

- Approve Framework and Direct Process Alignment to Framework
- Endorse Top-Level JCAs as Integrated Capability Portfolios
- Designate a lead (PA&E?) to coordinate among core process owners to establish business rules for relating resources to capabilities
- Determine preferred governance approach; and direct the creation and implementation of an Integrated Management Information Plan (IMIP) to support the Department's strategy to outcomes decision framework

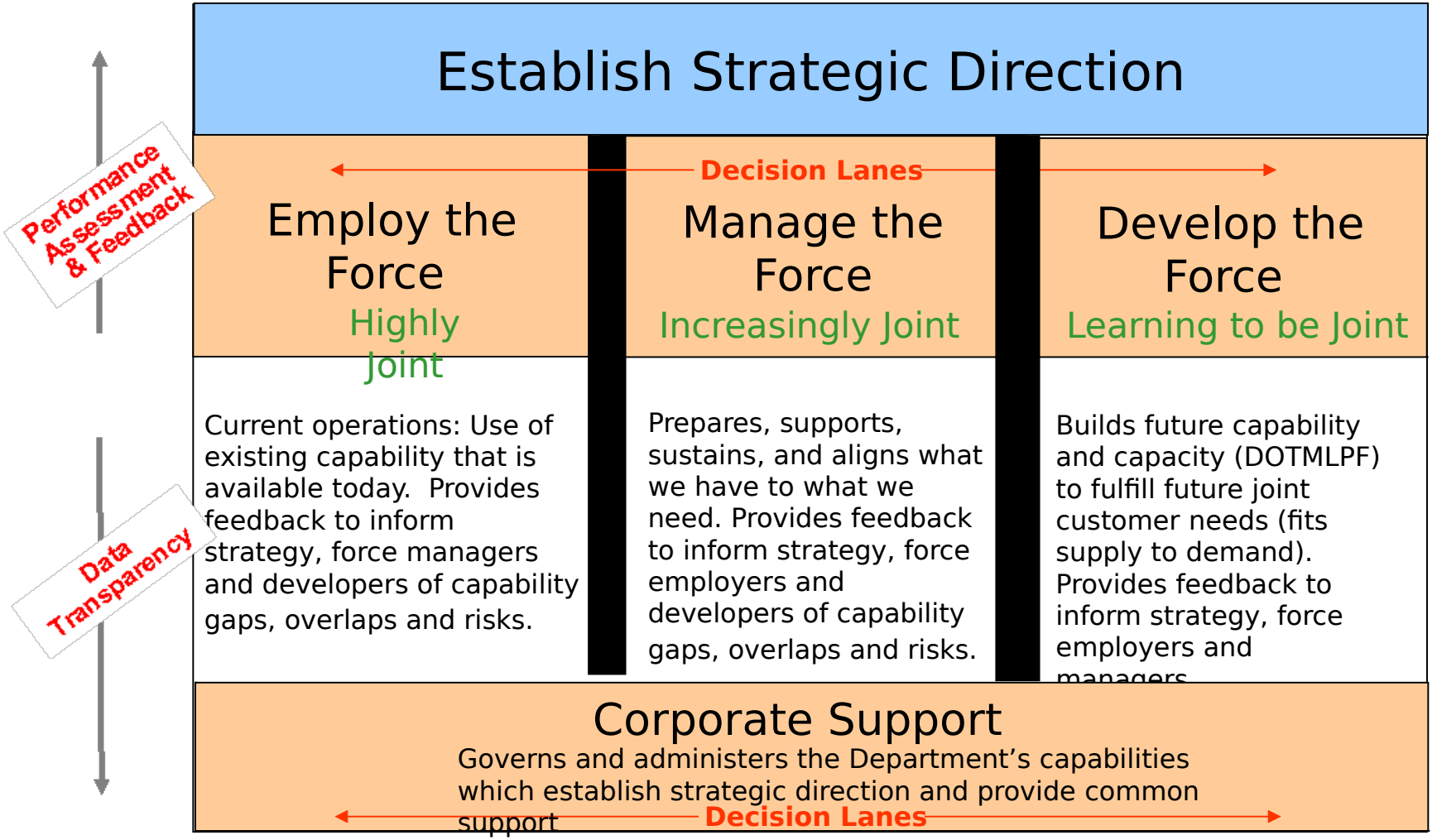
Back Up

IRG Framework Objectives

- Establish a decision framework that enables the Department to align strategy to outcomes.

1. Optimized for enterprise management
2. Better managing like resources
3. Applies to all defense organizations and activities
4. Supports a Capability-Based Approach
5. Understands, defines, and pursues success in terms of the customer, the joint warfighter.
6. Allows explicit and honest balance, at the appropriate level, between risks and priorities to get the best value for the taxpayer.
7. Provides an audit trail back to strategy and ensures appropriate transparency to secure confidence and ensure support, internally and externally
8. Produces defendable and actionable options for leadership based upon timely and sound analyses in a standard context.
9. Monitors effectiveness continually to minimize gaps and overlaps and ensure proper mission alignment.
10. Creates understanding or resource and process implications of decisions before executing.
8. Establishes and enforces the use of authoritative, factual, transparent, and interoperable data/information sources and standards.

General Management Decision Framework


Establish Strategic Direction
Performance Assessment & Feedback
Data Transparency
Decision Lanes
Employ the Force
Highly Joint
Manage the Force
Increasingly Joint
Develop the Force
Learning to be Joint
Current operations: Use of existing capability that is available today. Provides feedback to inform strategy, force managers and developers of capability gaps, overlaps and risks.
Prepares, supports, sustains, and aligns what we have to what we need. Provides feedback to inform strategy, force employers and developers of capability gaps, overlaps and risks.
Builds future capability and capacity (DOTMLPF) to fulfill future joint customer needs (fits supply to demand). Provides feedback to inform strategy, force employers and managers
Corporate Support
Governs and administers the Department's capabilities which establish strategic direction and provide common support
Decision Lanes

Top Level JCAs & Definitions

Force Application	**Definition:** The ability to maneuver and engage the enemy to create the effects necessary to achieve mission objectives.
Influence	**Definition:** The ability to shape the decisions, actions, and/or perceptions of key foreign leaders & populations by delivering thematic messages & conducting activities to advance the interests of the USG and its key partners, while strengthening key U.S. international relationships.
Command & Control	**Definition:** The ability to exercise authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission.
Net-centric	**Definition:** The ability to exploit all human and technical elements of the joint force and its mission partners by fully integrating collected information, awareness, knowledge, experience, and decision making, enabled by secure access and distribution.
Battlespace Awareness	**Definition:** The ability to develop and share situational awareness and to produce intelligence through persistent and pervasive observation of all domains.
Protection	**Definition:** The ability to prevent/mitigate adverse effects of attacks on personnel (combatant/non-combatant) and physical assets of the United States, allies and friends.
Logistics	**Definition:** The ability to project & sustain the operational readiness of the joint force through deliberate sharing of National and multi-national resources to support operations, extend operational reach and provide the joint force commander freedom of action necessary to meet mission objectives.
Force Support	**Definition:** The ability to maintain personnel readiness, establish and field mission ready joint organizations, and provide, operate, and maintain capable installation assets across the total force to ensure needed capabilities are available to enable the National Defense Strategy.
Corporate Mgmt & Support	**Definition:** The ability to govern and administer the Department's activities which establish strategic direction and provide common support to force employers, managers and developers.